



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

a named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

RNA Sequence-Specific Mediators of RNA Interference

the specification of which (check one)

☐ is attached hereto.

☒ was filed on March 30, 2001 as United States Application

Number or PCT International Application No. 09/821,832

and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

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<u>Prior Foreign Application(s)</u>			Priority Not Claimed	Certified Copy Filed? YES NO	
<u>00 126 325.0</u> (Number)	<u>Europe</u> (Country)	<u>01 December 2000</u> (Day/Month/Year filed)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year filed)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

60/265,232
(Application Number)

January 31, 2001
(Filing Date)

60/193,594
(Application Number)

March 30, 2000
(Filing Date)

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_____ (Application Serial No.)	_____ (Filing date)	_____ (Status: patented, pending, abandoned)
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As a named inventor, I hereby appoint the attorneys and/or agents associated with
Hamilton, Brook, Smith & Reynolds, P.C., Two Militia Drive, Lexington, Massachusetts 02421-4799
Customer No. 21005,

and Patricia Granahan, Esq., Registration No. 32,227, of Whitehead Institute for Biomedical Research,
Nine Cambridge Center, Cambridge, Massachusetts 02142

to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please send correspondence to:

[X] Customer No. **21005**
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.
Two Militia Drive
Lexington, MA 02421-4799

Direct telephone calls to: Anne J. Collins Telephone No.: 781-861-6240

Direct facsimiles to: Anne J. Collins Facsimile No.: 781-861-9540

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor Thomas Tuschl

Inventor's Signature Thomas Tuschl Date 05/18/01

Residence Keplerstrasse 9
37085, Goettingen, Germany

Citizenship German

Mailing Address same as above

Full name of second joint

inventor, if any Phillip D. Zamore

Inventor's Signature _____ Date _____

Residence 500 Green Street

Northborough, Massachusetts 01532

Citizenship U.S.A.

Mailing Address same as above

Full name of third joint

inventor, if any Phillip A. Sharp

Inventor's Signature _____ Date _____

Residence 36 Fairmont Avenue

Newton, Massachusetts 02458

Citizenship U.S.A.

Mailing Address same as above

Full name of fourth joint

inventor, if any David P. Bartel

Inventor's Signature _____ Date _____

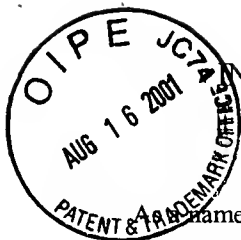
Residence 2 Bowker Street

Brookline, Massachusetts 02146

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::ODMA\HODMA\MANAGE;218011;1



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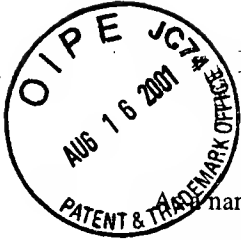
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or first inventor Thomas Tuschl

Inventor's Signature _____ Date _____

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Citizenship German

Mailing Address same as above

Full name of second joint

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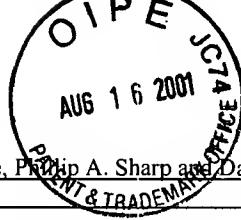
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STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION



DOCKET NUMBER: 0399.2008-002

#4

Applicant or Patentee: Thomas Tuschl, Phillip D. Zamore, Phillip A. Sharp and David P. Bartel
Application or Patent No.: 09/821,832
Filed or Issued: March 30, 2001
Title: RNA Sequence-Specific Mediators of RNA Interference

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Whitehead Institute for Biomedical Research
ADDRESS OF NONPROFIT ORGANIZATION Nine Cambridge Center
Cambridge, Massachusetts 02142

TYPE OF NONPROFIT ORGANIZATION:

- [] UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
[X] TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C.501(a) and 501(c)(3))
[] NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
[] WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF
LOCATED IN THE UNITED STATES OF AMERICA
[] WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- [] the specification filed herewith with title as listed above.
[X] the application identified above.
[] the patent identified above.

I hereby state that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- [] no such person, concern, or organization exists.
[X] each such person, concern, or organization is listed below.

1. Massachusetts Institute of Technology
77 Massachusetts Avenue
Cambridge, Massachusetts 02139-4307
2. University of Massachusetts Medical Center
55 Lake Avenue North
Worcester, Massachusetts 01605
3. Max-Planck-Gesellschaft zur Förderung der Wissenschaften E.V.
Hofgartenstrasse 8
80539 München, Germany

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Patricia Granahan, Esq.

TITLE IN ORGANIZATION OF PERSON SIGNING Intellectual Property Manager

ADDRESS OF PERSON SIGNING Whitehead Institute for Biomedical Research, Nine Cambridge Center, Cambridge, Massachusetts 02142

SIGNATURE Patricia Granahan DATE June 3, 2001

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

GI 2716 KTM
DOCKET NUMBER: 0399.2008-002

Applicant or Patentee: Thomas Tuschl, Phillip D. Zamore, Phillip A. Sharp and David P. Bartel
Application or Patent No.: 09/821,832
Filed or Issued: March 30, 2001
Title: RNA Sequence-Specific Mediators of RNA Interference

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NAME OF NONPROFIT ORGANIZATION Max-Planck-Gesellschaft zur Förderung der Wissenschaften E.V.
ADDRESS OF NONPROFIT ORGANIZATION Hofgartenstrasse 8
80539 München, Germany

TYPE OF NONPROFIT ORGANIZATION:

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Nine Cambridge Center
Cambridge, Massachusetts 02142 | |

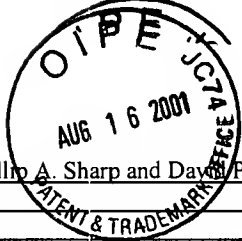
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Ms Christa Herzog
TITLE IN ORGANIZATION OF PERSON SIGNING Head of Patent Department
ADDRESS OF PERSON SIGNING Schildenstainstrasse 12, 81673 München
SIGNATURE Christa Herzog DATE 11.06.2001

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

DOCKET NUMBER: 0399.2008-002

Applicant or Patentee: Thomas Tuschl, Phillip D. Zamore, Phillip A. Sharp and David P. Bartel
Application or Patent No.: 09/821,832
Filed or Issued: March 30, 2001
Title: RNA Sequence-Specific Mediators of RNA Interference



I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of Massachusetts Medical Center
ADDRESS OF NONPROFIT ORGANIZATION 365 Plantation Street, Suite 130
Worcester, Massachusetts 01605

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF
LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

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☒ the application identified above.
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Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below.

1. Massachusetts Institute of Technology
77 Massachusetts Avenue
Cambridge, Massachusetts 02139-4307

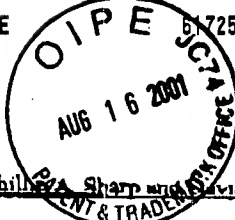
2. Max-Planck-Gesellschaft zur Förderung der Wissenschaften E.V.
Hofgartenstrasse 8
80539 München, Germany

3. Whitehead Institute for Biomedical Research
Nine Cambridge Center
Cambridge, Massachusetts 02142

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NAME OF PERSON SIGNING Joseph F. X. McGuire
TITLE IN ORGANIZATION OF PERSON SIGNING Executive Director, CVIP
ADDRESS OF PERSON SIGNING 365 Plantation St, Ste 130 Worcester, MA 01605
SIGNATURE [Signature] DATE May 15, 2001

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(d) & 1.27(d))-NONPROFIT ORGANIZATION**



DOCKET NUMBER: 0399.2008-002

Applicant or Parentee: Thomas Tuschl, Phillip D. Zamore, Philomena A. Sharp and David J. Bartel
 Application or Patent No.: 09/821,832
 Filed or Issued: March 30, 2001
 Title: RNA Sequence-Specific Mediators of RNA Interference

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Massachusetts Institute of Technology
 ADDRESS OF NONPROFIT ORGANIZATION 77 Massachusetts Avenue
Cambridge, Massachusetts 02139-4307

TYPE OF NONPROFIT ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
 (NAME OF STATE _____)
 (CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF
 LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
 STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
 (NAME OF STATE _____)
 (CITATION OF STATUTE _____)

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- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

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Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below

- | | |
|---|--|
| 1. University of Massachusetts Medical Center
55 Lake Avenue North
Worcester, Massachusetts 01605 | 2. Max-Planck Gesellschaft zur Forderung der Wissenschaften E.V.
Hofgartenstrasse 8
80539 Munchen, Germany |
| 3. Whitehead Institute for Biomedical Research
Nine Cambridge Center
Cambridge, Massachusetts 02142 | |

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NAME OF PERSON SIGNING Rita Filipowicz

TITLE IN ORGANIZATION OF PERSON SIGNING Patent Administrator

ADDRESS OF PERSON SIGNING 77 Massachusetts Avenue, Cambridge, MA 02139

SIGNATURE Rita Filipowicz DATE 8/13/01